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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Caplan, et al. Examiner:
Serial Number: 10/798,534 Art Unit: 1614
Filed: March 11, 2004
Title: "Conductance of Improperly Folded Proteins Through the Secretory Pathway and Related Methods for Treating Disease"

MAIL STOP: MISSING PARTS

Commissioner For Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

WRITTEN ASSERTION OF SMALL ENTITY STATUS
UNDER 37 CFR §1.27(a)(3)
NON-PROFIT ORGANIZATION

The undersigned hereby asserts entitlement to small entity status as a non-profit organization under 37 CFR §1.27(a)(3) on behalf of Yale University.

This assertion is made on the ground that Yale University is either:

- (a) a university or other institution of higher education located in any country;
- (b) an organization of the type described in section 501(c)(3) of the Internal Revenue Code of 1986 (26 USC §501(c)(3)) and exempt from taxation under section 501(a) of the Internal Revenue Code (26 USC §501(a));
- (c) any nonprofit scientific or educational organization qualified under a nonprofit organization statute of a state of this country (35 USC §201(i)); or
- (d) any nonprofit organization, located in a foreign country, that would qualify as a nonprofit organization under paragraphs (b) or (c) above if it were located in this country,

and *has not* assigned, granted, conveyed, or licensed, and is under no obligation under contract or law to assign, grant, convey, or license, any rights in the above-referenced patent application to any party who does not qualify for small entity status either as a person, a small business concern, or a nonprofit organization under 37 CFR §1.27.

Respectfully Submitted,

Print Name: _____

Title: _____

On behalf of Yale University

Dated: _____

Dorothy K. Robinson
Vice President and General Counsel
Yale University